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09/977,159	10/11/2001	Glen Alan Jaquette	TUC920010022US1	3879
46917 7590 11/18/2008 KONRAD RAYNES & VICTOR, LLP. ATTN: IBM37 315 SOUTH BEVERLY DRIVE, SUITE 210 BEVERLY HILLS, CA 90212				
EXAMINER				
WINTER, JOHN M				
ART UNIT		PAPER NUMBER		
3685				
NOTIFICATION DATE		DELIVERY MODE		
11/18/2008		ELECTRONIC		

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

krvuspto@ipmatters.com

### Office Action Summary

**Application No.**

09/977,159

**Applicant(s)**

JAQUETTE, GLEN ALAN

**Examiner**

JOHN M. WINTER

**Art Unit**

3685

**Period for Reply** -- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 03 September 2008.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-17 and 44 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-17 and 44 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/C2)
- Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)
- Paper No(s)/Mail Date \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

## **DETAILED ACTION**

### ***Acknowledgements***

The Applicants amendment filed on December 20, 2007 is hereby acknowledged, Claims 1-17 and 44 remain pending. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on September 3, 2008 has been entered.

### ***Response to Arguments***

1. Applicant's arguments with respect to claims 1-17 and 44 have been considered but are moot in view of the new ground(s) of rejection in view of newly discovered reference Smythe et al. (US Patent 5,325,430).

### ***Claim Rejections - 35 USC § 101***

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 1-17 and 44 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter.

Based on Supreme Court precedent and recent Federal Circuit decisions, § 101 process must (1) be tied to another statutory class (such as a particular apparatus) or (2) transform

underlying subject matter (such as an article or materials) to a different state or thing. If neither of these requirements is met by the claim(s), the method is not a patent eligible process under 35 U.S.C. § 101.

Claim 1 and 17 discloses a mere nominal recitation of technology and fails to transform the underlying subject matter to a different state, (Examiner note that there is no post solution activity – or actual result achieved ) therefore the claimed method is non-statutory and rejected under 35 U.S.C. 101 (*Diamond v. Diehr*, 450 U.S. 175, 184 (1981); *Parker v. Flook*, 437 U.S. 584, 588 n.9 (1978); *Gottschalk v. Benson*, 409 U.S. 63, 70 (1972); *Cochrane v. Deener*, 94 U.S. 780, 787-88 (1876)).

Claims 2-9 and 11-17, 44 are dependant upon claims 1 and 10 respectively and are rejected for at least the same reason.

### ***Claim Rejections - 35 USC § 103***

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-17 and 44 are rejected under 35 U.S.C. 103(a) as being unpatentable over Shear et al (US PG Pub 2001/0042043) in view of Smythe et al. (US Patent 5,325,430).

4. As per claim 1, 10 and 44 Shear et al teaches a method for accessing data in a read/write storage medium within one of a plurality of storage cartridges mounted into a plurality of interface devices comprising:

providing an association of at least one coding key to the plurality of storage cartridges; encrypting the coding key; (*see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220*).

Shear et al. does not specifically disclose

wherein the coding key associated with the storage cartridge is used to decode and code data in the storage cartridge; encrypting the coding key; receiving, by the interface devices, an Input/Output (I/O) request; decrypting, by the interface devices, the encrypted coding key in response to the I/O request; using, by the interface devices, the decrypted coding key to decode data to read in the storage cartridge associated with the decrypted coding key in response to the I/O request comprising a read request; and using, by the interface devices, the decrypted coding key to code data to write to the storage cartridge associated with the decrypted coding key in response to the I/O request comprising a write request with respect to the storage medium of at least one of the storage cartridges to perform the received I/O request.

Smythe al. discloses receiving, wherein the coding key associated with the storage cartridge is used to decode and code data in the storage cartridge; (Column 3, lines 40-62) encrypting the coding key; (Column 5 line 50 – column 6 line 3 [DES key is encrypted]) receiving, by the interface devices, an Input/Output (I/O) request; decrypting, by the interface devices, the encrypted coding key in response to the I/O request;(Column 6; lines 50-63 )

using, by the interface devices, the decrypted coding key to decode data to read in the storage cartridge associated with the decrypted coding key in response to the I/O request comprising a read request; (Column 7, lines 53-60 [Examiner notes that the terms “to decode data to read in the storage cartridge” etc.. is representative of non-functional descriptive information and it has been held such information will not distinguish a claimed device from the prior art (*In re Gulack*, 217 USPQ 401 (Fed. Cir. 1983), *In re Ngai*, 70 USPQ2d (Fed. Cir. 2004), *In re Lowry*, 32 USPQ2d 1031 (Fed. Cir. 1994); MPEP 2106.01)

and using, by the interface devices, the decrypted coding key to code data to write to the storage cartridge associated with the decrypted coding key in response to the I/O request comprising a write request with respect to the storage medium of at least one of the storage cartridges to perform the received I/O request. Column 7, lines 53-60 [Examiner notes that the terms “to code data to write in the storage cartridge” etc.. is representative of non-functional descriptive information and it has been held such information will not distinguish a claimed device from the prior art (*In re Gulack*, 217 USPQ 401 (Fed. Cir. 1983), *In re Ngai*, 70 USPQ2d (Fed. Cir. 2004), *In re Lowry*, 32 USPQ2d 1031 (Fed. Cir. 1994); MPEP 2106.01).

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the Shear et al. reference in view of Smythe et al. in order to only allows authorized users to retrieve data from media; furthermore the combination of these elements does not alter their respective functions, and the combination would have yielded predictable results to one of ordinary skill in the art at the time of the invention.

Claim 44 is not patentably distinct from claim 1, and is rejected for at least the same reasons.

As per claim 2 and 28, Shear et al teach a method of using the coding key to encode data to write to the storage medium; transmitting the encoded data to the interface device to write to the storage medium in one storage cartridge mounted in the interface device; receiving encoded data from the interface device read from the storage medium; and using the coding key to decrypt the received encoded data (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 3 Shear et al teach a method wherein the association of the at least one coding key to the plurality of storage cartridges associates one key with the plurality of storage cartridges, wherein the one key is capable of being used to encode data written to the storage medium and decode data read from the storage medium of the plurality of storage devices (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 4 Shear et al teach a method wherein the association of the at least one coding key to the plurality of storage cartridges associates a different key with each storage cartridge, wherein the key associated with one storage cartridge is used to encode data written to the storage medium and decode data read from the storage medium of the storage

cartridge (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

5. As per claim 5, 22, 31, Shear et al teach a method wherein the coding key comprises a seed value that is used to generate an additional key that is used to directly decode and encode the data in the storage medium in the storage cartridge (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 6, Shear et al teach a method further comprising: transmitting the encrypted coding key to the interface device, wherein the interface device decrypts the coding key to use to decode and code data stored in the storage medium (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 7, Shear et al teach a method wherein encrypting the coding key further comprises: encrypting the coding key with a first key, wherein a second key used by the interface device is capable of decrypting the coding key encrypted with the first key (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 8, Shear et al teach a method wherein encrypting the coding key further comprises: encrypting the coding key with a first key, wherein a second key is capable of decrypting the coding key encrypted with the first key; encrypting the second key with a third key, wherein the interface device is capable of decrypting data encrypted with the third key; and transmitting the coding key encrypted with the first key and the second key



encrypted with the third key to the interface device (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 9, Shear et al teach a method wherein encrypting the coding key further comprises: encrypting the coding key with a first key, wherein a second key is capable of decrypting the coding key encrypted with the first key; transmitting the coding key encrypted with the first key to the interface device; receiving, from the interface device, the coding key encrypted with the first key; decrypting the coding key with the second key; encrypting the coding key with a third key, wherein a fourth key used by the interface device is capable of decrypting data encrypted with the third key; and transmitting the coding key encrypted with the third key to the interface device (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 10, Shear et al teach a method for accessing data in a removable storage cartridge including a storage medium, comprising: receiving an encrypted coding key from a host system; decrypting the encrypted coding key; using the coding key to encode data to write to the storage medium; and using the coding key to decode data written to the storage (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 11, Shear et al teach a method wherein encoding the data with the coding key compresses the data and wherein decoding the data written to the storage medium decompresses the data, and wherein the data can only be encoded or decoded using the

coding key (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 12, Shear et al teach a method wherein the coding key is encrypted by a first key maintained at the host system, further comprising: maintaining a second key that is capable of decrypting data encrypted using the first key, wherein the second key is used to decrypt the coding key encrypted with the first key (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 13, Shear et al teach a method wherein the second key is stored in an integrated circuit non-volatile memory that is only accessible to decrypting logic that uses the second key to decrypt data encrypted using the first key (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 14, Shear et al teach a method further comprising transmitting the coding key decrypted using the decrypting logic to encoder/decoder logic, wherein the encoder/decoder logic uses the coding key to encode and decode data to the storage medium (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 15, Shear et al teach a method comprising: storing the coding key encrypted with the first key within the storage cartridge; receiving an input/output (I/O) request directed to the storage cartridge; and accessing the encrypted coding key from the

storage cartridge, wherein the accessed coding key is decrypted using the second key, and wherein the decrypted coding key is used to encode and decode data to execute the I/O request to the storage cartridge (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 16, Shear et al teach a method wherein the received encrypted coding key is encrypted by a first key maintained at the host system, wherein the host system maintains a second key that is capable of decrypting data encrypted using the first key, further comprising: receiving, from the host system, the second key encrypted by the host system using a third key, wherein data encrypted using the third key is capable of being decrypted using a fourth key; accessing the fourth key; using the fourth key to decrypt the encrypted second key received from the host system; and using the decrypted second key to decrypt the received coding key encrypted using the first key (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

As per claim 17, Shear et al teach a method wherein the coding key is encrypted by a first key maintained at the host system, wherein the host system maintains a second key that is capable of decrypting data encrypted using the first key, further comprising: transmitting the encrypted coding key received from the host system back to the host system; and in response to transmitting the encrypted coding key back to the host system, receiving, from the host system, the coding key encrypted using a third key, wherein data encrypted using the third key is decrypted using a fourth key; and accessing the fourth key, wherein the coding

key is decrypted using the fourth key (see figs 1A, 1B, 1C, paragraphs 0078-0081, 0127-0138, 0183, 0193-0199, 0216-0220).

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to JOHN M. WINTER whose telephone number is (571)272-6713. The examiner can normally be reached on M-F 8:30-6, 1st Fridays off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Calvin Hewitt can be reached on (571) 272-6709. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

JMW

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